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Changing Library Operations

Allen McKiel, Western Oregon University

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Robert Murdoch, Brigham Young University – Utah

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Abstract

The following article was presented in a panel discussion which explored library operational adaptations to the changing technologies of information distribution and usage. The librarians on the panel presented glimpses of the changes occurring in their library operations as they transition to services without print. The librarians explored, through the evidence of their changing library operations, a range of topics, for example: trends in e-resource acquisition and usage; changes in consortia; processing and organizational changes; and developments in open access publishing and library e-publication. After initial presentations, the panel and moderator encouraged questions, comments, and discussion with attendees.

Jim Dooley, Head, Collection Services, University of California, Merced

The University of California, Merced (UC Merced) opened in 2005 as the tenth University of California (UC) campus and welcomed its tenth freshman class in August 2014. From 875 students and thirteen faculty in 2005, UC Merced has grown to 6,300 students, including 350 graduate students. Currently there are 207 tenured or tenure-track faculty and an additional 140 lecturers. When the campus opened in 2005 only the library building was operational. Currently there are six academic buildings, a seventh under construction and residence halls housing over 2,000 students. The campus hopes to receive a Carnegie Classification as a Research University-High Output in 2015. The current strategic plan envisions that the campus will grow to 10,000 students, including 1,000 graduate students, by 2010. Space for the expansion will be obtained through a public-private partnership with a commercial developer that will construct a series of mixed-use buildings on a site adjacent to the current campus.

For the UC Merced Library the collection philosophy remains access vs. ownership or just-in-time vs. just-in-case. The goal is to meet an information need in the most appropriate way regardless of format or means of acquisition. It doesn't matter if the information resource is purchased, rented, or borrowed; only that the

need is met. One manifestation of this philosophy is the heavy reliance on demand-driven acquisitions (DDA) and subscription databases to provide access to locally licensed e-books. Collection funds provide access to the largest possible number of titles, not to purchase a much smaller number of titles in order to build a permanent collection.

Currently the library collection is approximately 92% electronic. This includes journals, e-books, databases, and U.S. government documents. The library subscribes to the Marcive Documents Without Shelves service which provides bibliographic records with links to electronic U.S. government documents to enable it to be a Federal Depository Library. The high percentage of electronic resources in the collection is not a result of favoring access over ownership. Rather, the high percentage results from the library being opened in 2005 when the transition from print to electronic was well underway.

The collection is a combination of electronic resources licensed by the California Digital Library (CDL) for all or a subset of UC campuses, as well as locally licensed electronic resources and purchased print books and DVDs. Despite its name, the CDL is a part of the University of California Office of the President and provides negotiation and licensing services as well as technology development and management to the UC libraries. Although negotiation and

licensing services for electronic resources are provided by the CDL, these resources are not “free” to the campus libraries. Each UC library pays a proportional share for access to these resources. Currently 60% of the UC Merced Library collection budget goes to provide access to CDL-licensed resources.

At the UC Merced Library the transition from print to electronic is almost complete for serials. Currently the library provides access to approximately 112,000 online journals (most through CDL-licensed packages) and 20 print journals. The print serials are all in the humanities and currently unavailable online. The print subscription would be cancelled if any were to become available electronically.

Acquisition of print books has been through approval plans supplemented by firm orders at faculty request. The print collection has also been supplemented by various gifts of books. Except for gifts, all books in the collection were published in 2003 or later. From the opening of the library there have been two approval plans: one for humanities, social sciences, and arts, and one for science. At the beginning both approval plans were rather broad because academic planning was unfocused. As programs developed, the scope of the approval plans has been progressively narrowed to focus on areas of campus research and teaching. Early in 2014 the science approval plan was shut down completely due to a combination of decreasing circulation and budget pressures. The social sciences, humanities, and arts approval plan remains. Currently there are just over 118,000 print books and 2,600 DVDs in the collection.

When the library opened in 2005, probably few would have predicted that e-books would become such an important part of research library collections in a decade. Very few e-books were available through UC systemwide licenses. While there never was an intention to replace print books with e-books, the library began experiments with e-books soon after opening. The first was a subscription to ebrary Academic Complete which provided access to a growing collection of academic titles, now over 116,000, at a very low cost per title as long as the subscription

was maintained. The largest number of locally licensed e-books are available through demand-driven acquisitions (DDA) plans with EBL (300,000 titles) and MyiLibrary (50,000 titles). Under the EBL plan, titles are purchased on the fourth access after three short-term loans (STLs). The MyiLibrary plan does not employ STLs; titles are purchased on the second access. During the past ten years large numbers of e-books have become available at UC Merced through UC systemwide agreements including both stand-alone packages (Royal Society of Chemistry, ASME) and e-books linked to journal packages (Springer, Wiley, Elsevier). The result is that the library now provides electronic access to 1.05 million titles: 580,000 through systemwide packages and 470,000 through local licenses. This is currently nine times the number of print titles in the local collection.

Because approximately 30% of available e-books are accessed through a DDA plan with STLs, the library has been significantly affected by the increases in STL rates announced by certain publishers in the summer of 2014. The timing of these increases so close to the start of the fiscal year was decried by many libraries and library consortia. The Boston Library Consortium wrote an open letter published in *The Chronicle of Higher Education* strongly objecting both to the timing and size of these increases. (<http://chronicle.com/blogs/letters/ebook-pricing-hikes-amount-to-price-gouging>)

While the timing of these increases is certainly an issue, the effects on the UC Merced collection are also significant. The monthly spend for the EBL DDA plan has remained relatively constant for the past several years in spite of significant yearly enrollment increases. After the STL increases, spending increased 50%, even though enrollment for 2014-2015 had been held at last year's levels. The number of STLs increased slightly for these months compared to the corresponding months in the previous year, but the costs increased out of all proportion to the increased usage. A hypothetical example illustrates the problem. A STL at 10% for a book with a \$200 list price is \$20; a STL at 25% for the same book is \$50.

As a result of these increases, the content of over a dozen publishers has been completely removed

from the DDA plan in stages during the past months and a \$30 cap on STLs was instituted in September. The cumulative effect of these actions has been to remove approximately 100,000 titles from the EBL DDA plan. This is content that will not be acquired by the UC Merced Library through other means. It remains to be seen if these actions were sufficient or if further steps need to be taken to control costs.

Several observations concerning collections can be made after ten years of operations. There is a string acceptance of electronic journals by UC Merced faculty and students. There have been no requests to acquire any journals in multiple formats or the substitute a print subscription for an electronic one. Acceptance of e-books is following the same trajectory but influenced by disciplinary preferences. Humanities and arts faculty still prefer print books while science and engineering faculty, to the extent that they use books rather than journals, prefer e-books if available. The library clearly needs to respond to the desires of humanities and arts faculty for print books. One way would be to significantly increase the size of the local print collection. Budget realities, however, make it highly unlikely that the UC Merced Library will ever be able to accomplish this. A more realistic approach is to continue to work with the other UC campuses to improve an already successful internal ILL operation so that UC Merced faculty will have improved access to the 38 million volumes in the UC Libraries collection.

The availability of e-books has resulted in a significant decrease in anticipated ILL costs. Given the size of the print collection, the expectation had been the UC Merced Library would be a net borrower for many years. The reality has been that the UC Merced Library has been a net lender to every other UC library for several years. If one-third of the STL requests for e-books had instead been ILL requests, the library would have been a net borrower in every year. This represents a significant savings in ILL costs.

As the controversy over STL rare increases has shown, e-book business models remain problematic. E-books can be acquired directly by libraries through individual and package

purchases as well as through various evidence-based DDA plans and DDA plans that do or don't include STLs. DDA plans using STLs continue to work well for libraries while there is agitation against the use of STLs in various quarters of the publishing community. Regardless of the details concerning STLs, publisher business models need to align with library budget realities.

Allen McKiel, Dean of Library Services, Western Oregon University

Cooperative Collections

This article views the Orbis Cascade Alliance's cooperative collection development efforts, which are central to its mission and vision. "We bring multiple perspectives together to challenge traditional thinking and elevate our ability to deliver outstanding services, programs, and collections . . . to strongly promote the success of students, faculty, staff, and researchers."

Optimizing the expansion of mission relevant information resources is integral to the development and delivery of the services and programs of libraries. Collections are the content. Services and programs assist in their use. Implicit in any discussion of content is its integral requirement of effective access. Optimizing the volume of content must be viewed in the context of the services that provide relevance and means of access. For example, a catalog serves relevance and access to the collection as does a building to house the collections and a program of instruction in the use of a catalog. The objective is effective access to the content. This article will survey the Alliance's efforts in optimizing access to shared information content through its services and programs. The Alliance Shared Content Team is charged with providing "broad oversight and leadership in the sharing of library-selected content. As experts for the consortium, the team continually assesses, manages, and develops initiatives that broaden access by providing cost-effective sharing, licensing, and description of such content."

Consortia, like the Alliance, extend the services and programs of libraries to the network operational level. The initial focus was sharing

physical books. Consortia shared local access to their book collections through the development and maintenance of union catalogs and the ongoing provision of local systems of distribution. The Orbis consortium initiated its union catalog in 1995 with 12 Oregon libraries and began a borrowing program in 1996. They initiated a courier system in 1998 to expedite access to their collective holdings for their combined patrons. The Washington-based Cascade consortium initiated a union catalog in 1997 and migrated to INN-Reach, the Innovative Interfaces software for expediting interlibrary loan, which improved access to the collective holdings of the 7 participating libraries.

In 2002 Orbis and Cascade joined to pool the then 26 collections of the Orbis Cascade Alliance using INN-Reach to share access to what was named Summit. Expansion of content through access currently includes nearly 9 million unduplicated titles of the shared 28 million volumes with delivery time within 24 to 48 hours for the 37 libraries serving over 275,000 students. Western Oregon University's (WOU) accessible collection (within 2 days) increase over that time was somewhere around 4,500 percent. Annual growth rate for WOU's individual collection over that period of time was approximately 1%. Individual ownership changed marginally while access improved dramatically even though there is a time delay compared to the immediacy of local access. Last year's Alliance Summit usage was 37% of total WOU book circulation.

The coordinated services that provided access to the collection included the implementation of the union catalog, courier system, and INN-Reach software. All of these were needed to provide more effective access to the shared content primarily with respect to time but also load balancing between institution. The Alliance has attempted to further optimize access by a suggested limit to duplicate copies. The effort was facilitated through the common utilization of Gobi, a management tool that permits selectors to view consortium-wide title purchasing processes. The system was jointly adopted by all Alliance members in 2008. The effort was intended to decrease unnecessary duplication and has instead

resulted most recently in a slight increase in the average number of copies purchased. It seems to have increased duplication with a very slight loss to title expansion. An individual's need for immediacy often trumps the librarians' concerns for shared collection size. Librarians are forever adjudicating between immediate need and general comprehensiveness in their striving to optimize use of limited funds.

The Alliance infrastructure for optimizing access to content has most recently been enriched through the implementation of Ex Libris Alma and Primo. The single system for all 37 libraries provides the technical infrastructure for enriched user access to content through cooperative management of network level bibliographic data, discovery technology, data driven collection development through usage and cost assessment, and vendor data and software coordination.

E-Books

In the realm of e-books, optimizing access to content primarily involves increasing volume of content to increase the probability of a search term providing relevant content. The effort to share e-books in a manner similar to ILL is an unwieldy construct that makes the price negotiation over e-book distribution more complicated. The concept has maintains viability because print and electronic formats compete and e-distribution has an advantage. The price for e-copy production and distribution is zero. E-books do not need to be produced or transported. The costs are artificially imposed for e-books primarily to allow competitive print distribution. A more cynical consideration includes the privileged advantage of access via premier university libraries.

The imposed cost/value appears in acquisition/access models brokered by vendors between librarians and publishers. For instance, the imposition can be seen in the restrictions to access enforced by publishers via an embargo for front list titles in a subscription database. It is, in a sense, subsidizing the sale of front list title prices. The imposition also shows up as the cost of concurrent accesses (multiple copies) to an e-book. Patrons must wait their turn as they would

have for a print copy. It is manifest in the provision of access to a collection through short term loans and purchases of perpetuity after an agreed upon number of loans. The negotiated value of access and timeliness to e-books is linked to the need to subsidize the general costs of publishing for e or p publication but also the cost of print production, warehousing, shipping, and handling.

E-Book Consortia Collection Development

A more complex iteration of the “imposed” framework for negotiating access to e-books involves consortium access to a shared collection. As an example, WOU is a member of the Orbis Cascade Alliance and is participating in the cooperative DDA through YBP and EBL. The intent is to provide access to a shared collection as one entity through our combined patron selections. We are working on the evolution of the details of the model. An overview from Western’s vantage point of the benefits of cooperative collection development of e-books

can be demonstrated through a look at Western’s return on investment for FY 2014. Western’s share of the annual cost was \$7,547. Approximately 18,000 titles were available in the pool to Western’s faculty and students. Of those, 738 titles were purchased for their use. Costs per title availability and purchase were 42 cents and \$10.23 respectively. Total usage for the year numbered 2,877 browses or a short term loans (STL) for Western with a cost per use of \$2.62 per use. This arrangement is far superior to access that could be provided in print. It would likely be improved if separated from the physical and conceptual constraints associated with print distribution. Facilitation of access through browsing, short term loans, multi-institution access, and subscription are evolutionary steps toward distribution models that stretch toward ubiquitous access that increases use and thereby decreases cost per use with a net gain for all involved. This is the typical expression of technological innovation that first disrupts and then replaces the less efficient technology. They must coexist through a period of adjustment.

Cost/Benefit Analysis	
Cost to WOU - FY14	\$ 7,547
Titles in Pool - 18,000	
Cost / Title Available	\$0.42
Usage – Browse, Loan - 2,877	
Cost / Use	\$2.62
Titles Purchased - 738	
Cost / Title	\$10.23
Titles added annually – approx. 6,000	
Cost/ Title available	\$1.26

Table 1. FY 2013-14 Cost/benefit analysis of Alliance DDA for Western Oregon University.

	Owned Browse	Owned Loan	Unowned Browse	Unowned Loan	Total
WOU	740	558	1,039	540	2,877

Table 2. FY 2013-14 Western Oregon University Alliance DDA usage.

Library operations occurring at the network level for the provision of cooperative DDA requires an additional layer of complexity. Negotiation and management entails multi-institutional assessments of faculty and student need with respect to institutionally relevant content. This is generally facilitated by adjudicating available content through assessing institutional usage. Relevant systems for assessment need to be devised and data needs to be accumulated and analyzed for ongoing maintenance of cost effectiveness and equanimity. The single bib record in the shared Ex Libris catalog provides more efficient management of the collection for everybody albeit with additional coordination complexity.

Journals

The consortia role in the provision of access to the online journals evinces as cooperative purchasing of access to databases like EBSCO's but there is also a preservation advantage to cooperation. The dramatic online shift has spawned growing concern for its consequent encroached upon ownership, control, and preservation of content. The struggle is manifest in ongoing deliberations and negotiations among librarians, authors, publishers, vendors, lawyers, lawmakers, and organizations promoting a variety of preservation and access schemes for e-journals. This will eventually be sorted out through a mix of competition and cooperation on a global scale among all of the stakeholders. The individual library is no longer the primary agent and guarantor of the preservation of the written word as it transitions to electronic format. Preservation of physical archival copies is still their domain. In the persistence of their electronic offspring, libraries collectively have only a significant voice.

Given the problem of diminishing shelf space particularly for the larger institutions, cooperative preservation has been a core issue in the Alliance's pursuit of cooperative collection development. The issue has been prominent in Alliance strategy discussions of a possible joint project to procure a cooperative storage facility. A practicable plan for a building never materialized owing to a variety of factors including the logistics of financing, the retreating number of print books

and journals being procured, the majority of smaller libraries for whom it was not critical and seemingly out of reach, and the possibilities latent in the alternative of cooperative preservation through shared facilities distribution.

In keeping with the primacy of the library's role in the preservation of physical archival copies of journal articles, the Alliance in its collection development and management undertakings created a cooperative distributed print repository for journals. The initial Alliance endeavor to create a distributed print repository was formally proposed in 2005. The Summit union catalog of the Alliance provided the core mechanism for shared collection development and with it the means for creating a distributed print repository for preservation and for the requisite potential expansion needed for shared collection development. A cooperative repository provides preservation assurance that permits withdrawal of duplicated resources, primarily journals but also monographs.

The Alliance had approved and mostly implemented the proposal for a distributed repository by 2008. The particulars of the shape of the collection included 241 journal titles of the combined JSTOR Arts and Sciences I and II database collections and the 33 titles of the American Chemical Society journals. The broad ownership among Alliance members of the paper back-files along with subscriptions to their electronic counterparts provided the key selection criterion. The titles also provided long journal runs in the humanities, social sciences, and sciences. Nearly all Alliance members hold, and are responsible in perpetuity for, a portion of the titles. Two complete runs of each title are held; one copy circulates. The Alliance effort eventually merged into an agreement with the Western Regional Storage Trust (WEST) in which all of the Alliance member libraries are participants.

Other Content

Books, e-book, and journals are central content for library consortia operations however; as with success in these areas, uniquely held collections both print and online have become more central to Alliance deliberations. Materials in print,

online, archives, publications, exhibits, etc., will be increasingly considered for cooperative use. The Alliance has mapped out operational structures for cooperation across a fuller range of content managed by four administrative teams and five program area teams. The administrative teams include assessment, center of excellence, finance, and policy teams. The program area teams include collaborative workforce, content creation and dissemination, discovery and delivery, shared content, and systems teams. All content access is facilitated through library operations, which requires organizational structures for cooperative use at the network level. The Alliance is stretching the limits of consortia operations to facilitate more pervasive levels of content access.

Carol T. Zsulya, Business and Government Documents Librarian and Collection Development Coordinator

Michael Scwhartz Library, Cleveland State University

Universities and colleges are undergoing a transformation. The question of sustainability of universities and colleges is a top priority for the administration, faculty, and staff in higher education as far as competition for funding, students, academic staff, quality requirements and accountability demands. Universities and colleges are now measuring student outcomes relative to course development, course expectations, quality of teaching, and student retention.

The role of academic libraries continues to evolve. Traditional librarian roles are being tested, students and faculty still require research assistance and resources still need to be purchased. However, many academic librarians are asked to be more flexible and adaptable as far as their additional duties. Academic libraries now include the familiar reference librarians, instruction librarians and technical services librarians. Digital initiatives librarians are also being added to the organizational structure. Skill sets that are becoming more in demand include digital content management, electronic resources management, instructional designers, and one of

the newest skill sets (in both academia and the business sector) is business data analytics.

Many academic libraries are destinations for group study, silent study, and subject-specific labs or designated areas of study (such as a math emporium found both at Kent State and Cleveland State). Academic libraries have become prime real estate on many campuses. Print collections have, in many institutions, become obsolete with little, if any, usage. In some cases, this may be true, as the rise of e-resources continues.

The weeding of print collections continues to be a top priority among many academic libraries and even regional depositories as well.

Librarians now purchase fewer books and, if given a choice of books over journals, purchase journals/subscriptions over the books. Yes, e-books are being purchased—as collections or individually. However, reductions in academic library budgets often occur year-to-year (not always at the same percentage rate).

OhioLINK has provided a strong connection for 91 academic institutions in Ohio to share resources. (Waiting for some additional information regarding OhioLINK that will be included in slide presentation.) Journal subscriptions remain the most valuable commodity among the OhioLINK libraries. E-book packages are being considered even though publishers are not as willing to allow consortial sharing of e-books and e-book packages.

One thing that hasn't changed is the agreement that there are still benefits to belonging to a consortium that include sharing resources, collection management collaboration, purchasing products in packages, particularly as academic libraries budgets continue to shrink. In a consortium, as in OhioLINK, there are discussion about maintaining local, special collections, de-duping collections, assessing the role of state-wide depositories and what should be retained.

Other points that will be discussed are the rise of MOOCs and other online courses of study; uses of tablets, e-readers, and mobile phones as the norm for college students; the population of incoming

freshmen and how universities (CSU in particular) are dealing with decreasing population for college students; and what CSU is doing to retain and graduate.

Finally, the use of open access materials, institutional repositories (including Engaged Scholarship@CSU) and open access textbooks was discussed.